

Element Performance Inspection (EPI) Data Collection Tool

4.4.2 Display of Certificate (AW)

ELEMENT SUMMARY INFORMATION

Purpose of This Element (Certificate Holder's responsibility):

- To ensure that personnel exercising airman privileges have their certificate available for display upon request.

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Display of Certificate process.
- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Display of Certificate process.

Specific Instructions:

- To accomplish this EPI, the inspector shall verify that certificated maintenance technicians can present the inspector with an appropriate certificate for the work being accomplished.

Related EPI(s):

- 1.3.14 General Maintenance Manual / Equivalent (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 4.1.2 Maintenance Certificate Requirements (AW)
- 4.2.1 Maintenance Training Program (AW)
- 4.2.2 RII Training Requirements (AW)
- 4.2.8 Simulators / Training Devices (AW)
- 4.4.3 Privileges Airframe and Powerplant (AW)
- 4.4.4 Privileges and Limitations for Repairmen (AW)
- 5.1.1 Line Stations (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
121.135(a)(1)

121.135(b)(1)
121.135(b)(2)
121.135(b)(3)
121.383(a)(2)
121.383(b)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
121.378
121.709(b)(3)
- FAA Policy/Guidance:
Intentionally left blank

EPI SECTION 1 – PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Display of Certificate.

Tasks

To meet this objective, the inspector will accomplish the following tasks:

- 1 Review information listed in the Supplemental Information section of this data collection tool.
- 2 Review the policies, procedures, instructions and information for the Display of Certificate process contained in the Certificate Holder's manual.
- 3 Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.
- 4 Observe the Display of Certificate process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.
- 5 Discuss the Display of Certificate process with the personnel (other than management) who perform the duties and responsibilities required by the Display of Certificate process.

Questions

To meet this objective, the inspector must answer the following questions:

1. Were the following Performance Measures met:

- 1.1 Did the certificated airman present the appropriate certificates upon request when performing the following functions:

Related performance JTIs:

- Check at the Air Carrier Operated Maintenance Facility that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures.
Sources: 121.383(b); 121.709(b)(3)
- Check at the Air Carrier's ramp that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures.
Sources: 121.383(b); 121.709(b)(3)
- Check at the Air Carrier's aircraft that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures.
Sources: 121.383(b); 121.709(b)(3)
- Check at the Air Carrier's geographic location that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures.
Sources: 121.383(b); 121.709(b)(3)
- Check at the Air Carrier's outsource provider that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures.
Sources: 121.709(b)(3); 121.383(b)
- Check at the Air Carrier Operated Maintenance Facility that the person performing required inspections presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures.
Sources: 121.383(b); 121.709(b)(3)

<ul style="list-style-type: none"> • Check at the Air Carrier's Outsource provider that the person performing required inspections presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.371(a); 121.378(a)</i> • Check at Air Carrier Operated Maintenance Facility that the person directly in charge of maintenance, preventive maintenance, or alteration presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.378(a)</i> • Check at Air Carrier's Outsource provider that the person directly in charge of maintenance, preventive maintenance, or alteration presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.378(a)</i> 	
<p>1.1.1 Directly in charge of maintenance, preventive maintenance, or alterations?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check at Air Carrier Operated Maintenance Facility that the person directly in charge of maintenance, preventive maintenance, or alteration presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.378(a)</i> • Check at Air Carrier's Outsource provider that the person directly in charge of maintenance, preventive maintenance, or alteration presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.378(a)</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.1.2 Performing required inspections?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check at the Air Carrier Operated Maintenance Facility that the person performing required inspections presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.709(b)(3)</i> • Check at the Air Carrier's Outsource provider that the person performing required inspections presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.371(a); 121.378(a)</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.1.3 Preparing an airworthiness release?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check at the Air Carrier Operated Maintenance Facility that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.709(b)(3)</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<ul style="list-style-type: none"> • Check at the Air Carrier's ramp that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.709(b)(3)</i> • Check at the Air Carrier's aircraft that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.709(b)(3)</i> • Check at the Air Carrier's geographic location that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.383(b); 121.709(b)(3)</i> • Check at the Air Carrier's outsource provider that the person signing an airworthiness release presents their current appropriate certificate at the request of the administrator in accordance with the air carrier's procedures. <i>Sources: 121.709(b)(3); 121.383(b)</i> 	
1.1.4 Making an entry in an aircraft log?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2 Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Display of Certificate process followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3 Were the Display of Certificate process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4 Were the process measurements for the Display of Certificate process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<i>EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu</i>
1. Personnel.
2. Tools and Equipment.
3. Technical Data.
4. Procedures, policies or instructions or information.
5. Materials.
6. Facilities.
7. Controls.
8. Process Measures.
9. Interfaces.
10. Desired Outcome.
11. Other.

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Display of Certificate is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person who has overall responsibility for the Display of Certificate process.

2 Identify the person who has overall authority for the Display of Certificate process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the duties and responsibilities for the person(s) who manage the Display of Certificate process documented in the Certificate Holder's manual.

4 Review the appropriate organizational chart.

5 Discuss the Display of Certificate process with the management personnel identified in Tasks 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

Questions

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Display of Certificate process:

2.1 Is there a clearly identified person who is responsible for the quality of the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Display of Certificate process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.6 Does the person with authority to establish and modify the Display of Certificate process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the Display of Certificate process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<i>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES –Drop Down Menu</i>	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	